

**NEW UTILITY PATENT APPLICATION TRANSMITTAL***(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))*Docket No.  
**23449-013**Total pages in this  
submission**TO THE ASSISTANT COMMISSIONER FOR PATENTS****Box Patent Application  
Washington, D.C. 20231**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD**

And invented by:

**JOSEPH G. GATTO****IF A CONTINUATION APPLICATION, check appropriate box and supply requisite information:**☐

Continuation

☐

Divisional

☒

Continuation-in-part (CIP) of prior application No.: 09/722,050, filed 11/27/00

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 147 pages(s) and including the following:
  - a. ☒ Descriptive title of the invention
  - b. ☒ Cross references to related applications *(if applicable)*
  - c. ☐ Statement regarding Federally-sponsored research/development *(if applicable)*
  - d. ☐ Reference to microfiche appendix *(if applicable)*
  - e. ☒ Background of the invention
  - f. ☒ Brief summary of the invention
  - g. ☒ Brief description of the drawings *(if drawings filed)*
  - h. ☒ Detailed description of the preferred embodiments
  - i. ☒ Claims as classified below
  - j. ☒ Abstract of the disclosure

**Application Elements (continued)**

3. ☒ Drawing(s) (when necessary as prescribed by 35 U.S.C. 113)  
☒ Formal ☐ Informal Number of sheets: 58
4. ☐ Oath or Declaration  
a. ☐ Newly executed (original or copy) ☐ Unexecuted  
b. ☐ Copy from a prior application (37 C.F.R. 1.63(d) (for continuation/divisional applications only)  
c. ☐ With Power of Attorney ☐ Without Power of Attorney
5. ☐ Incorporation by reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is
6. ☐ Computer program in microfiche
7. ☐ Genetic sequence submission (if applicable, all must be included)  
a. ☐ Paper copy  
b. ☐ Computer readable copy  
c. ☐ Statement verifying identical paper and computer readable copies

**Accompanying Application**

8. ☐ Assignment papers (cover sheet & document(s))
9. ☐ 37 C.F.R. 3.73(b) statement (when there is an assignee)
10. ☐ English translation document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☐ Certified copy of priority document(s) (if foreign priority is claimed)
15. ☐ Certificate of Mailing  
☐ First Class ☐ Express Mail (Label No.: \_\_\_\_\_ )
16. ☒ Small Entity Claimed \_\_\_\_\_

**Accompanying Application (continued)**

- 17.
- ☒
- Additional enclosures (please identify below):

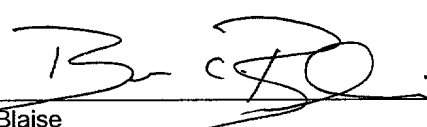
Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)

**Fee Calculation and Transmittal**

The filing fee for this utility patent application is calculated and transmitted as follows:

☐ Large Entity☒ Small Entity

<b><u>CLAIMS AS FILED</u></b>					
For	# Filed	# Allowed	# Extra	Rate	Fee
Total Claims	40	- 20 =	20	x \$9.00	\$180.00
Independent Claims	2	- 3 =	0	x \$40.00	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					
Other Fees (specify purpose):					
BASIC FEE					\$355.00
TOTAL FILING FEE					\$535.00

☒ A check in the amount of \$535.00 to cover the total filing fee is enclosed.☒ The Commissioner is hereby authorized to charge and Deposit Account No. 50-0311 as described☐ Charge the amount of \_\_\_\_\_ as filing fee.☒ Credit any overpayment.☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant  
Bradford C. Blaise

Registration No.: 47,429

MINTZ LEVIN COHN FERRIS GLOVSKY AND POPEO PC

11911 Freedom Drive, Suite 400

Reston, Virginia 20190

703-464-8182

Fax: 703-464-4895

Dated: June 29, 2001

**NONPUBLICATION REQUEST  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor JOSEPH G. GATTO

Title SECURITY ANALYST ESTIMATES  
PERFORMANCE VIEWING SYSTEM AND  
METHOD

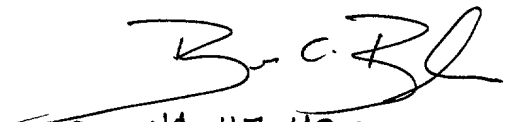
Atty Docket Number 23449-013

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

June 29, 2001

Date

  
Reg. NO. 47, 429

Signature

Bradford C. Blaise

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**